

RECEIVED  
CENTRAL FAX CENTER  
MAY 12 2005

PROSKAUER ROSE LLP

1585 Broadway  
NEW YORK, NY 10006-6289  
Telephone 212.969.3000  
Fax 212.969.2900

## Fax Transmittal

Date May 12, 2005 Client-Matter 74622-006

Total Pages (Including Cover) 3

From John C. Stellabotte

Sender's Voice Number 212.969.3413

Sender's Room Number 17-44

Sender's Email Address jstellabotte@proskauer.com

Main Fax Number 212.969.2900

To: Examiner: Charles R. Kyle

Fax No.: 703.872.9306

Company: United States Patent and Trademark Office - Group Art Unit 3624 Voice No.: 703.305.4158

## Message

Re: Inventor : William Fitzpatrick et al.  
Serial No. : 09/712,358  
Filing Date : November 14, 2000  
Title : BROWSER INTERFACE AND NETWORK BASED FINANCIAL  
OPERATION SYSTEM  
Att'y Docket : 74622-006

AMASHON please find the following:

- 1) Power of Attorney and Correspondence-Address Indication Form
- 2) Statement Under 37 CFR 3.72(b)

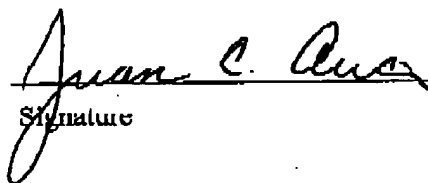
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

**FACSIMILE TRANSMISSION CERTIFICATE**

I hereby certify that these papers are being facsimile transmitted to the Patent and Trademark Office on the date shown below

Juan C. Arias

Name of person signing the certification



Signature

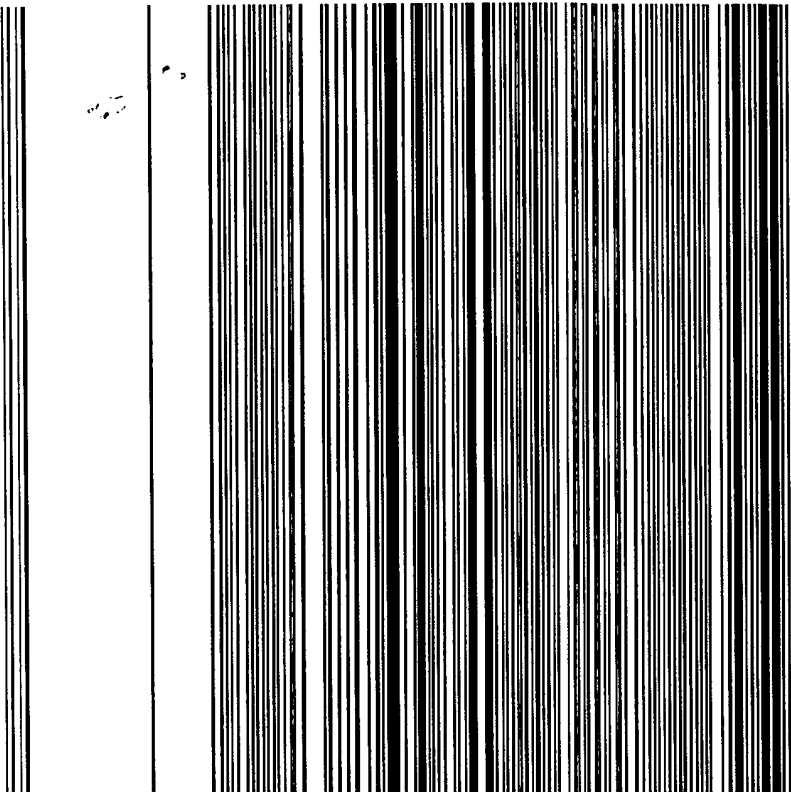
May 12, 2005

Date

Confidentiality note: This message is confidential and intended only for the use of the addressee(s) named above. It may contain legally privileged material. Dissemination, distribution or copying of this message, other than by such addressee(s), is strictly prohibited. If you have received this message in error, please immediately notify us by telephone and return the original to us at the address above. We will reimburse you for the cost of the telephone call and postage. Thank you.

BEST AVAILABLE COPY

**BEST AVAILABLE COPY**



PTO/SB/98 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: William FitzpatrickApplication No./Patent No.: 09/712,358 Filed/Issue Date: November 14, 2000Entitled: **BROWER INTERFACE AND NETWORK BASED FINANCIAL SERVICE SYSTEM**

UBS Financial Services, Inc., a Corporation  
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or  
 2. ☐ an assignee of less than the entire right, title and interest.  
 The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

In the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

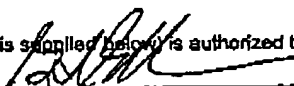
1. From: William Fitzpatrick et al. To: Painwebber Incorporated  
 The document was recorded in the United States Patent and Trademark Office at  
 Reel 011338, Frame 0698, or for which a copy thereof is attached.
2. From: Painwebber Incorporated To: UBS Painwebber Inc.  
 The document was recorded in the United States Patent and Trademark Office at  
 Reel 012257, Frame 0717, or for which a copy thereof is attached.
3. From: UBS Painwebber, Inc. To: UBS Financial Services, Inc.  
 The document was recorded in the United States Patent and Trademark Office at  
 Reel 014467, Frame 0783, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

  
 Signature  
Gregg I. Goldman  
 Printed or Typed Name  
Director and Senior Counsel, Technology and  
Intellectual Property, UBS AG, Stamford Branch  
 Title

5-12-05  
 Date  
203 719 3099  
 Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9109 and select option 2.

BEST AVAILABLE COPY